

J1064 U.S. PTO
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Please type a plus sign (+) inside this box

PTO/SB/05 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 728-230 (YOR9-2002-0024US1)
First Inventor Louis L. Hsu
Title Embedded DRAM System Having Wide Data...
Express Mail Label No. EV035531786US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 36]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 11]
5. Oath or Declaration [Total Pages]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: _____

Prior application information:

Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Paul J. Farrell, Esq.				
Address	DILWORTH & BARRESE, LLP				
	333 Earle Ovington Blvd.				
City	Uniondale	State	New York	Zip Code	11553
Country	U.S.A	Telephone	(516) 228-8484	Fax	(516) 228-8516

Name (Print/Type)	Paul J. Farrell	Registration No. (Attorney/Agent)	33,494
Signature		Date	01/31/02

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this correspondence and the documents referred to as enclosed are being deposited with the United States Postal Service on date below in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EV035531786US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Dated: January 31, 2002

Barbara Evers

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**FEE TRANSMITTAL
for FY 2002**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 884.00)

Complete if Known

Application Number

Filing Date

First Named Inventor

Examiner Name

Group Art Unit

Attorney Docket No.

Herewith

Louis L. HSU

728-230 (YOR9-2002-0024 US1)

METHOD OF PAYMENT (check one)

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

50-0510/IBM (Yorktown Heights)

Deposit
Account
Name

IBM (Yorktown Heights)

- ☒
- Charge Any Additional Fee Required
-
- Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status.
See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money
Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Small Entity

Fee Fee Fee Fee Fee Description
Code (\$) Code (\$)

101 740 201 370 Utility filing fee

106 330 206 165 Design filing fee

107 510 207 255 Plant filing fee

108 740 208 370 Reissue filing fee

114 160 214 80 Provisional filing fee

Fee Paid

\$740.00

SUBTOTAL (1) (\$ 740.00)**2. EXTRA CLAIM FEES**

Total Claims	28	-20** =	8	x	Fee from below \$18	=	Fee Paid \$144
Independent Claims	3	-3** =	0	x	Fee from below \$84	=	Fee Paid \$0
Multiple Dependent					Fee from below \$280	=	Fee Paid \$0

**or number previously paid, if greater; For Reissues, see below.

Large Entity Small Entity

Fee Fee Fee Fee Fee Description
Code (\$) Code (\$)

103 18 203 9 Claims in excess of 20.

102 84 202 42 Independent claims in excess of 3

104 280 204 140 Multiple dependent claim, if not paid

109 84 209 42 ** Reissue independent claims
over original patent110 18 210 9 ** Reissue claims in excess of 20
and over original patent**SUBTOTAL (2)** (\$ 144.00)**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Fee Fee Fee
Code (\$) Code (\$)**Fee Description****Fee Paid**

105 130 205 65 Surcharge - late filing fee or oath

127 50 227 25 Surcharge - late provisional filing fee or
cover sheet

139 130 139 130 Non-English specification

147 2,520 147 2,520 For filing a request for *ex parte* reexamination112 920* 112 920* Requesting publication of SIR prior to
Examiner action113 1,840* 113 1,840* Requesting publication of SIR after
Examiner action

115 110 215 55 Extension for reply within first month

116 400 216 200 Extension for reply within second month

117 920 217 460 Extension for reply within third month

118 1,440 218 720 Extension for reply within fourth month

128 1,960 228 980 Extension for reply within fifth month

119 320 219 160 Notice of Appeal

120 320 220 160 Filing a brief in support of an appeal

121 280 221 140 Request for oral hearing

138 1,510 138 1,510 Petition to institute a public use proceeding

140 110 240 55 Petition to revive - unavoidable

141 1,280 241 640 Petition to revive - unintentional

142 1,280 242 640 Utility issue fee (or reissue)

143 460 243 230 Design issue fee

144 620 244 310 Plant issue fee

122 130 122 130 Petitions to the Commissioner

123 50 123 50 Processing fee under 37 CFR 1.17(q)

126 180 126 180 Submission of Information Disclosure Stmt

581 40 581 40 Recording each patent assignment per
property (times number of properties)146 740 246 370 Filing a submission after final rejection
(37 CFR § 1.129(a))149 740 249 370 For each additional invention to be
examined (37 CFR § 1.129(b))

179 740 279 370 Request for Continued Examination (RCE)

169 900 169 900 Request for expedited examination
of a design application

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**SUBMITTED BY**

Name (Print/Type)

Paul J. Farrell

Registration No.
(Attorney/Agent)

33,494

Complete (if applicable)

Telephone

(516) 228-8484

Signature

Date

01/31/02

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this correspondence and the documents referred to as enclosed are being deposited with the United States Postal Service on date below in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EV035531786US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Dated: January 31, 2002

Barbara Evers

Barbara Evers

Assistant Commissioner for Patents
Washington, D.C. 20231
Sir:

ATTORNEY DOCKET NO. 728-230 (R9-2002-0024 US1)

Date: January 31, 2002

Express Mail Label: EV035531786US

Date of Deposit: January 31, 2002

Transmitted herewith for filing is the Patent Application of:

Inventors: Louis L. Hsu, Rajiv V. Joshi, Jeremy K. Stephens and Daniel W. Storaska

For: **EMBEDDED DRAM SYSTEM HAVING WIDE DATA BANDWIDTH AND DATA TRANSFER DATA PROTOCOL**

Enclosed are: ☒ 27 sheets of specification; ☒ 1 sheet(s) of Abstract;
☒ 8 sheet(s) of claims; ☒ 11 sheet(s) of drawing(s);

- ☐ An assignment of the invention to International Business Machines Corporation with Recordation Form.
- ☐ Declaration and Power of Attorney.
- ☐ A certified copy of a _____ application, from which priority under Title 35 USC §119 is claimed.
- ☒ Associate Power of Attorney.
- ☐ Information Disclosure Statement with copies of cited art and PTO-1449.

The filing fee has been calculated as shown below:

(Col. 1)		(Col. 2)	OTHER THAN A SMALL ENTITY	
FOR:	NO. FILED	NO. EXTRA	RATE	FEE
BASIC FEE				\$ 740.00
TOTAL CLAIMS	28 -20 =	8	X \$18 =	144.00
INDEP CLAIMS	3 -3 =	0	X \$84 =	0.00
MULTIPLE DEPENDENT CLAIMS PRESENTED			+ 270 =	
			TOTAL	\$884.00

If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

- ☐ A check in the amount of \$_____ to cover the ☐ filing fee(s) and a check to cover the ☐ recording fee are enclosed.
- ☒ Please charge my Deposit Account No. 50-0510 in the amount of \$884.00.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510/IBM (Yorktown Heights). A duplicate copy of this sheet is enclosed.
- ☒ Any additional filing fees required under 37 CFR 1.16.
- ☒ Any patent application processing fees under 35 CFR 1.17.

Respectfully submitted,

By:

Paul J. Farrell, Esq.
Registration No. 33,494

Please address all
correspondence to:
DILWORTH & BARRESE, LLP
333 Earle Ovington Boulevard
Uniondale, NY 11553
Tel: (516) 228-8484
Fax: (516) 228-8516

Attorney for:
IBM Corporation
Intellectual Property Law Dept.
P.O. Box 218
Yorktown Heights, NY 10598

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date January 31, 2002 in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EV035531786US addressed to: BOX PATENT APPLICATION, Assistant Commissioner for Patents, Box
PATENT APPLICATION, Washington, D.C. 20231.

Barbara Evers
Barbara Evers

PATENT

Atty. Docket No. YOR9-2002-0024US1 (728-230)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Assistant Commissioner for Patents
Washington, D.C. 20231
Attn: Box Patent Application

UTILITY APPLICATION DATA SHEET UNDER 37 C.F.R. §1.76

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): Louis L. Hsu, Rajiv V. Joshi, Jeremy K. Stephens and Daniel W. Storaska

For: **EMBEDDED DRAM SYSTEM HAVING WIDE DATA
BANDWIDTH AND DATA TRANSFER DATA PROTOCOL**

Enclosed are:

- [X] 27 page(s) of specification
[X] 1 page(s) of Abstract
[X] 8 page(s) of claims
[X] 11 sheets of drawings [] formal [x] informal
[] _____ page(s) of Declaration and Power of Attorney
[X] 1 page(s) Associate Power of Attorney
[] _____ page(s) Assignment of Invention

Assignee Name: International Business Machines Corporation
Assignee Resident: Armonk, New York

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date January 31, 2002 in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EV035531786US addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Barbara Evers

(Type or print name of person mailing paper)

Barbara Evers
(Signature of person mailing paper)

☐ This application claims the benefit under 35 U.S.C. §119(e) of U.S. Provisional Application(s) No(s).:

APPLICATION NO(S).:

FILING DATE

_____/_____

☐ Certified copy of applications

Country

Appln. No.

Filed

from which priority under Title 35 United States Code, § 119 is claimed

☐ is enclosed.

☐ will follow.

☒ Address all future correspondence to:

**Paul J. Farrell, Esq.
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333 Earle Ovington Blvd.
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(516) 228-8484**

Date: January 31, 2002

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Attorneys for Applicant(s)